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PTO/SB/21 (08-03)

Approved for use through 08/30/2003. OMB 0651-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	10/626,856
	Filing Date	July 25, 2003
	First Named Inventor	Thorsten H. BRANTS et al.
	Art Unit	2171
	Examiner Name	Not Yet Assigned
	Total Number of Pages in This Submission <i>80 + 18 pages</i>	Attorney Docket Number

ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="text" value="Remarks"/>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Christian Austin-Hollands (Reg. No. 46,527) Customer No. 31011
Signature	<i>Christian Austin-Hollands</i>
Date	April 20, 2004

CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Appl. No. : 10/626,856
Applicants : Thorsten H. BRANTS et al.
Filed : July 25, 2003
TC/A.U. : 2171
Examiner : NOT YET AVAILABLE
Docket No. : D/A3052-311290
Customer No. : 31011

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Pursuant to 37 C.F.R. 1.56, the attention of the Patent and Trademark Office is hereby directed to the reference(s) and information listed on the attached PTO-1449 Form. One legible copy of each is attached to the PTO-1449 Form. It is respectfully submitted that the references and information be expressly considered during the prosecution of this application, and that the references be made of record therein and appear among the "References Cited" on any patent to issue therefrom.

1. This Information Disclosure Statement is being filed (a) within three months of the U.S. filing date of the above application (which is not a CPA), OR (b) before the mailing date of a first Office Action on the merits. No certification or fee is required.

2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the date of the first Office Action on the merits, but before the mailing date of a Final Rejection, Notice of Allowance, or other action that closes prosecution. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.)

3. This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance; AND

a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

4. This Information Disclosure Statement is being filed after the mailing date of a Final Rejection or Notice of Allowance, but before the payment of the Issue Fee. Please debit Xerox Corporation Deposit Account 24-0037 in the amount of \$180.00 in payment of the fee under 37 C.F.R. 1.17(p). (A copy of this letter is attached.) AND

a. I hereby certify that each item of information contained in this Information Disclosure Statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. 1.97(e)(1); OR

b. I hereby certify that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to my knowledge, after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c), more than three months prior to the filing of this Information Disclosure Statement 37 C.F.R. 1.97(e)(2).

5. Per 37 C.F.R. 1.98(a)(3), a concise explanation of the relevance of each of any submitted item that was not in the English language is either enclosed herewith, or incorporated in the application specification.

6. A copy of an English language version of an above-referenced counterpart foreign application search report is attached.

7. Copies of some or all of the subject references were cited by, or submitted to the Office in related parent Application No. _____, filed _____, which is relied upon under 35 U.S.C. § 120. Thus, copies of these references are not attached (except for copies of cited pending applications). 37 C.F.R. §1.98(d).

8. A copy of each copending application recited in the parent

application of paragraph 7 above, and/or a copy of other related copending applications, is enclosed.

Respectfully submitted,



Christian Austin-Hollands
Registration No. 46,527

Date: April 20, 2004

CHRISTIAN AUSTIN-HOLLANDS ESQ.
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San Francisco, CA 94117
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DEPOSIT ACCOUNT USE
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Please grant any extension
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PTO/SB/08A (04-03)

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Substitute for form 1449/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet 1 of 3

Complete if Known

Application Number	10/626,856
Filing Date	July 25, 2003
First Named Inventor	Thorsten H. BRANTS et al.
Art Unit	2171
Examiner Name	
Attorney Docket Number	D/A3052-311290

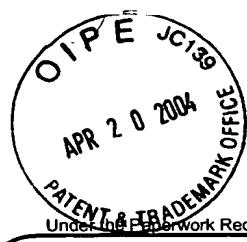
U. S. PATENT DOCUMENTS

FOREIGN PATENT DOCUMENTS

Examiner Signature		Date Considered	
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¹EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ²Applicant's unique citation designation number (optional). ³See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ⁴Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁵For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁶Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08B (04-03)

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

Sheet

2

of

3

Complete if Known

Application Number	10/626,856
Filing Date	July 25, 2003
First Named Inventor	Thorsten H. BRANTS et al.
Art Unit	2171
Examiner Name	
Attorney Docket Number	D/A3052-311290

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Allan, J. et al., "Detection, Bounds, and Timelines: UMass and TDT-3" in Proceedings of Topic Detection and Tracking Workshop (TDT-3), Vienna, Virginia, February 2000.	
		Allan, J. et al., "On-line new event detection and tracking" in Proceedings of SIGIR-98, Melbourne, Australia, 1998, p. 37-45.	
		Allan, J., et al., "Topic-based novelty detection", Summer Workshop Final Report, Center for Language and Speech Processing, John Hopkins University, 1999.	
		Franz, M., et al., "First Story Detection: Combining similarity and novelty-based approaches", Slides at the TDT-2001 meeting, IBM, 2001.	
		Brants, T., et al., "Topic-based document segmentation with probabilistic latent semantic analysis", in International Conference on Information and Knowledge Management (CIKM), McLean, VA 2002.	
		Croft, W.B., et al., "Relevance feedback and personalization: A language modelling perspective" in DELOS Workshop: Personalisation and Recommender Systems in Digital Libraries, 2001.	
		Dunning, T.E., "Accurate Methods for the statistics of surprise and coincidence" in Computational Linguistics 19(1):61-74, 1993.	
		Hearst, M.A., "TextTiling: Segmenting text into multi-paragraph subtopic passages", in Computational Linguistics, 23(1):33-64, 1997.	
		Joachims, T., "Making large-scale svm learning practical", in Advances in Kernel-Methods Support Vector Learning, B. Schlkopf, C. Burges, A. Smola eds., MIT Press, 1999.	
		Joachims, T., "Text categorization with support vector machines: learning with many relevant features" in Proceedings of the 10th European Conference on Machine Learning, 1998, pp. 137-142.	

Examiner Signature	Date Considered
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

1 Applicant's unique citation designation number (optional). 2 Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449/PTO				Complete if Known	
				Application Number	10/626,856
				Filing Date	July 25, 2003
				First Named Inventor	Thorsten H. BRANTS et al.
				Art Unit	2171
				Examiner Name	
Sheet	3	of	3	Attorney Docket Number	D/A3052-311290

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
		Lavrenko, V., et al., "Relevance models for topic detection and tracking", in Proceedings of the HLT-2002, San Diego, CA 2002.	
		Schapire, R. E., et al., Boostexter: A boosting-based system for text categorization", in Machine Learning, 2000.	
		Yang, Y., et al., "A study on retrospective and on-line event detection", in Proceedings of SIGIR-98, Melbourne, Australia, 1998.	
		Yang, Y., et al., "Topic-conditioned novelty detection" in Proceedings of the International Conference on Knowledge Discovery and Data Mining, Edmonton, Canada, 2002.	
		Zhang, Y., et al., "Novelty and redundancy detection in adaptive filtering" in Proceedings of SIGIR-02, Tampere, Finland, 2002, pp. 81-88.	

Examiner Signature	Date Considered
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